

JOE'd PCT/PTO 2 5 MAY 2001

FORM PTO-1390  
(REV 10-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

1719F US

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/856987

INTERNATIONAL APPLICATION NO.  
PCT/US99/28385

INTERNATIONAL FILING DATE  
01.12.1999 (01 December 1999)

PRIORITY DATE CLAIMED  
03.12.1998 (03 December 1998)

**TITLE OF INVENTION** USE OF NEUROTROPHIC FACTOR STIMULATORS FOR THE TREATMENT OF  
OPHTHALMIC NEURODEGENERATIVE DISEASES

**APPLICANT(S) FOR DO/EO/US** PANG, lok-hou

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☒ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 16 below concern document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

International Search Report  
Written Opinion  
International Preliminary Examination Report

Express Mail No.  
EL587888413US

U.S. APPLICATION NO. (if known, see 37 CFR 1.53) <b>09/85698</b>		INTERNATIONAL APPLICATION NO. <b>PCT/US99/2838</b>		ATTORNEY'S DOCKET NUMBER <b>1719F US</b>	
---	--	---	--	---	--

<p>17. <input checked="" type="checkbox"/> The following fees are submitted:  <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b>            Neither international preliminary examination fee (37 CFR 1.482)            nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO            and International Search Report not prepared by the EPO or JPO ..... <b>\$1000.00</b>            International preliminary examination fee (37 CFR 1.482) not paid to            USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$860.00</b>            International preliminary examination fee (37 CFR 1.482) not paid to USPTO but            international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$710.00</b>            International preliminary examination fee paid to USPTO (37 CFR 1.482)            but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$690.00</b>            International preliminary examination fee paid to USPTO (37 CFR 1.482)            and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b>    <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p>				<b>CALCULATIONS</b> PTO USE ONLY	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	14 - 20 =	0	X <b>\$18.00</b>	\$	0
Independent claims	2 - 3 =	0	X <b>\$80.00</b>	\$	0
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ <b>\$270.00</b>	\$	0
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	690.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
<b>SUBTOTAL =</b>				\$	690.00
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$	690.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property				\$	40.00
<b>TOTAL FEES ENCLOSED =</b>				\$	0
				Amount to be refunded:	\$
				charged:	\$ 730.00

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 01-0682 in the amount of \$ 730.00 to cover the above fees.  
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 01-0682. A duplicate copy of this sheet is enclosed.

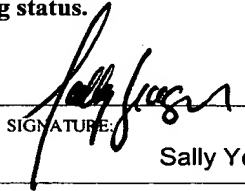
**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Sally Yeager, R&D Counsel  
 Alcon Research, Ltd.  
 Mail Code Q-148  
 6201 South Freeway  
 Fort Worth, TX 76134-2099

  
 SIGNATURE: \_\_\_\_\_  
 NAME: Sally Yeager  
 REGISTRATION NUMBER: 32,757